

**Request for proposals to support Source Reduction Assistance for FY 2003;
Notice of Funds Availability
Corresponding Catalog of Federal Domestic Assistance Number: 66.717.**

AGENCY: Environmental Protection Agency (EPA)

ACTION: Notice.

INTENT: In accordance with EPA's policy for competition in assistance agreements, the Agency is making a formal solicitation to fund national and regional grants and cooperative agreements; based upon source reduction/pollution prevention principles.¹ EPA's Office of Pollution Prevention and Toxics (OPPT) and EPA's Regional P2 Programs expect to have approximately \$1 million available in fiscal year 2003 to fund approximately sixty-five assistance agreement proposals supporting source reduction/pollution prevention activities. In addition, OPPT expects to have an additional \$500,000 available for projects that directly support the Persistent, Bioaccumulative and Toxics (PBT) Program.

EPA Headquarters and EPA Regional offices intend to fund activities involving:

- Design for the Environment
- Environmentally Preferable Purchasing,
- Pollution Prevention projects of general interest,
- Pollution Prevention projects of interest to states, regions, and/or tribes, and
- Persistent, Bioaccumulative, and Toxic Chemicals

BACKGROUND INFORMATION:

I. Description of the Source Reduction Assistance Program:

- A. *Definition.* The Pollution Prevention Act defines "source reduction" to mean any practice which reduces the amount of any hazardous substance, pollutant, or contaminant entering any waste stream or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment, or disposal; and reduces the hazards to public health and the environment associated with the release of such substances, pollutants, or contaminants.

Source reduction practices may include: equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, and improvements in housekeeping, maintenance, training, or inventory control.

The term "source reduction" does not include any practice which alters the physical,

¹ For more information on the Agency's policy for competition in assistance agreements please visit, <http://www.epa.gov/ogd/grants/competition.htm>.

chemical, or biological characteristics or the volume of a hazardous substance, pollutant, or contaminant through a process or activity which itself is not integral to and necessary for the production of a product or the providing of a service.

- B. Purpose.* EPA is interested in supporting source reduction/pollution prevention projects that will provide an overall benefit to the environment by preventing the generation of pollutants at the source. Source reduction initiatives can involve but are not limited to: reducing production waste and consumption; improving facility and institutional operations by reducing pollutant use and exposure; reformulating and procuring products to reduce toxic constituents; improving reuse and recycling opportunities; reducing disposal risks; providing direct technical assistance to businesses and other organizations; encouraging green product design and manufacturing; conducting outreach; collecting and analyzing data; and integrating pollution prevention concepts in state, regional and tribal environmental media programs. For additional information on national and regional programs, please visit EPA's Pollution Prevention web site at <http://www.epa.gov/p2>.
- C. Authorizing Statutes.* This solicitation is made under the Clean Air Act, Section 103 (b) and (g), as amended; the Clean Water Act, Section 104 (b) (3), as amended; the Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; the Safe Drinking Water Act, Section 1442 (b) (3) (c), as amended; the Solid Waste Disposal Act, Section 8001(a), as amended; the Toxic Substances Control Act, Section 10, as amended; Executive Order 13148 - Greening the Government Through Leadership in Environmental Management, April 21, 2000; Executive Order 13101- Greening the Government Through Waste Prevention, Recycling, and Federal Acquisition, September 14, 1998; and Executive Order 12873 - Federal Acquisition, Recycling and Waste Prevention, October 20, 1993.

DATES: Applications sent to EPA Headquarters may be received on or before May 30, 2003.

Application deadlines for EPA Regional offices vary. Please consult the Regional supplemental guidance on the appropriate Regional web site for important deadlines. Regional web sites are listed in Appendix B. Regional deadlines for application packages covering persistent, bioaccumulative, and toxic chemical reduction can be found on EPA's PBT program web site at <http://www.epa.gov/pbt>.

To determine whether you should send your application to EPA Headquarters or to an EPA Regional office please consult section II. C.

ADDRESSES: EPA Headquarters application packages may be submitted electronically, by mail, delivery or courier. Please follow the instructions provided in the SUPPLEMENTARY INFORMATION section.

For EPA Regional application packages, please follow the instructions provided in the

SUPPLEMENTARY INFORMATION section, under part E.

FOR FURTHER INFORMATION CONTACT:

For EPA Headquarters programs contact: Lena Ferris, Pollution Prevention Division (7409-M), Office of Pollution Prevention and Toxics, Environmental Protection Agency, 1200 Pennsylvania Ave. N.W., Washington, D.C. 20460-0001, telephone number: (202) 564-8831; fax number: (202) 564-8899; e-mail address: ferris.lena@epa.gov.

For EPA Regional programs contact the appropriate regional coordinator listed in Appendix A.

SUPPLEMENTARY INFORMATION:

II. General Information

A. Does this action apply to me?

Assistance under this program is available to State governments, possessions of the U.S., including the District of Columbia, local governments, city or township governments, special district governments, federally-recognized tribal governments, independent school district governments, state controlled institutions of higher education, non-profits, other than institutions of higher education (i.e., community action agencies and other organizations having a 501(c)(3) status with the IRS), private institutions of higher education, and community-based grassroots organizations. If you have any questions regarding the applicability of this action to a particular entity, contact the person listed in the *For Further Information Contact* section.

B. How can I get additional information?

1. For EPA Headquarters application assistance please visit <http://www.epa.gov/ogd/AppKit/index.htm>

2. For EPA Regional application assistance, please review the supplemental guidance listed on Regional web sites. Regional web sites are listed in Appendix B.

3. For information on the PBT Regional projects please visit <http://www.epa.gov/pbt>.

C. How do I determine whether to send my application package to EPA Headquarters or to an EPA Regional office?

If your proposal is designed to benefit multiple EPA regions, and will have a national or international focus then you should send your proposal to EPA Headquarters. If your proposal is designed to benefit states, tribes, or local jurisdictions within *only* one EPA

Region then you should send your proposal to the appropriate regional office. For the list of regional offices go to Appendix A. All PBT Regional Project proposals should be sent directly to the appropriate regional contact listed in Appendix A.

D. How do I submit an application package to EPA Headquarters?

You may submit an application package by mail, electronically or by courier.

1. *Electronically.* Applications directed to EPA Headquarters should be sent to Lena Ferris via e-mail: ferris.lena@epa.gov. When submitting electronic applications please include your name, mailing address, e-mail address and phone number. Also, include this contact information on the outside of any disk or CD-ROM you submit, and in any cover letter accompanying the disk or CD-ROM.. This will ensure that you are identified as the submitter of the application, and it allows EPA to contact you in the event the Agency has trouble accessing your document.

2. *By mail.* Send your application to: Lena Ferris, Office of Pollution Prevention and Toxics, (MC 7409-M), Environmental Protection Agency, 1200 Pennsylvania Ave. N.W., Washington, D.C. 20460-0001.

3. *By hand delivery or courier.* Deliver your application to: Lena Ferris, EPA-East Building, Room 5213, 1201 Constitution Ave., N.W., Washington, D.C. 20004.

EPA Headquarters applications may be received on or before May 30, 2003.

E. How do I submit an application package to an EPA Regional office?

1. *Electronically.* Please refer to the appropriate regional coordinator listed in Appendix A. When submitting electronic applications please include your name, mailing address, e-mail address and phone number. Also, include this contact information on the outside of any disk or CD-ROM you submit, and in any cover letter accompanying the disk or CD-ROM.. This will ensure that you can be identified as the submitter of the application and it allows EPA to contact you in the event the Agency has trouble opening your document. *PBT Regional Project proposals will only be accepted electronically by the appropriate Regional contact listed in Appendix A.*

2. *By mail.* Please refer to the appropriate regional coordinator listed in Appendix A.

3. *By hand delivery or courier.* Please contact the appropriate regional coordinator listed in Appendix A for further instructions.

Please consult the supplemental guidance listed on Regional web sites for important deadlines. Regional web sites are listed in Appendix B. Specific deadlines concerning PBT Regional Program proposals are listed on the PBT web site at <http://www.epa.gov/pbt>.

III. AWARD INFORMATION

- A. *Availability of FY 2003 funds.* With this notification, EPA is expecting the availability of \$1 million in funds for FY 2003. Individual awards will be made through a competitive process for amounts not to exceed \$100,000 per year. Proposals may include up to 2 years in their schedule and budget. In the past five years, EPA has awarded related assistance agreements in the range of \$5,000 - \$100,000. EPA Headquarters and Regional assistance agreements are anticipated to be officially awarded by October 30, 2003. In addition, EPA is expected to award an additional \$500,000 for the PBT Regional projects. Please visit <http://www.epa.gov/pbt> for details on award caps.
- B. *Dispute Resolution Process:* This assistant agreement shall function in accordance with 40 CFR 30.63 and Part 31 Subpart F.

IV. ELIGIBILITY

- A. *Applicants.* Assistance under this program is available to State governments, possessions of the U.S., including the District of Columbia, local governments, city or township governments, special district governments, independent school district governments, state controlled institutions of higher education, federally-recognized tribal governments, non-profits other than institutions of higher education [which includes community action agencies and other organizations having a 501(c)(3) status with the IRS], private institutions of higher education, community-based grassroots organizations, and nonprofit organizations. If you have any questions regarding the applicability of this action to a particular entity, contact the person listed in the *For Further Information Contact section*. Eligible applicants are encouraged to establish partnerships with businesses and other environmental assistance providers to seamlessly deliver source reduction/pollution prevention assistance. In many cases partnerships can make the most efficient use of Federal/State government funding. *Applicant eligibility will be used as a pass/fail criterion when evaluating proposals.*
- B. *Matching requirements.* EPA requests a 5% match requirement subject to negotiations with the appropriate EPA Program office.

V. APPLICATION AND SUBMISSION INFORMATION

- A. *Application Coordination for EPA Headquarters applications.* The Standard Form 424, 424A, and other forms as provided by the EPA must be used for this program. To obtain the necessary forms please visit, <http://www.epa.gov/ogd/AppKit/application.htm>.

Application Coordination for EPA Regional applications. Please review the supplemental guidance on Regional web sites for more information. Regional web sites are listed in Appendix B.
- B. *Intergovernmental Review of Federal Programs.* This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs" (and the review requirements of Section 204 of the Demonstration Cities and Metropolitan Development

Act). Each state applicant should consult their EPA Regional office or official designated as the single point of contact in his or her State for more information on the process the State requires when applying for assistance; if the State has selected the program for review. If you do not know who your Single Point of Contact is, please call your EPA Regional coordinator listed in Appendix A, or call the EPA Headquarters Grant Policy Information and Training Branch at 202 564-5325. *Federally-recognized tribal governments are not required to comply with this procedure.*

- C. *Activities to be Funded.* EPA is inviting proposals oriented toward reducing pollutants at the source. EPA is interested in funding projects dealing with but not limited to: environmentally preferable purchasing, persistent bioaccumulative, and toxic chemicals, measurement, environmental justice through pollution prevention, regulatory integration, cross-media sustainability, environmental management systems, etc. Specific activities concerning PBT Regional projects can be found in the guidance document listed on the PBT web site at <http://www.epa.gov/pbt>, or from your PBT Regional contact listed in Appendix A.

- D. *Content and Format for EPA Headquarters applications.*
The Standard Form 424, 424A, and other application forms provided by EPA must be used for this program. To download applicable forms and to find out more about funding procedures please consult the EPA's assistance agreement web site at <http://www.epa.gov/ogd/AppKit/index.htm>. In addition, all application packages must include a one (1) page list of the key contact personnel who will be assigned to the project. The key contact sheet should contain the name, title, mailing address, phone number and e-mail address, of the following personnel:

Authorized representative: the individual who reviews and accepts awards and amendments.

Payee: Individual authorized to accept payments.

Administrative Contact: Individual to contact concerning administrative matters (e.g., indirect cost, rate computation and re-budgeting requests, etc.)

Project Manager: Individual responsible for completing the proposed work.

Content and Format for EPA Regional applications. Please review the supplemental guidance on Regional web sites for more information. Regional web sites can be found in Appendix B. Specific requirements for PBT Regional projects can be found on the PBT web site at <http://www.epa.gov/pbt>.

- E. *Statement of Confidential Disclosure:* All applicants should clearly mark any information they consider confidential. EPA will make final confidentiality decision in accordance with Agency regulations provided in 40 CFR. Part 2, Subpart B.

VI. REVIEW AND SELECTION PROCESS

A. Procedures for Evaluating EPA Headquarters and EPA Regional proposals.

1. *Selection Process.* EPA reserves the right to accept or reject proposals based upon funding availability. Acceptable proposals must meet the eligibility requirements in Section IV. of this notice.

2. *Review Process.* A panel comprised of EPA staff will evaluate each proposal. EPA staff will review all proposals for quality, strength and completeness based upon the relevant project objective and the six evaluation criteria listed in part 4.

3. *Project Objectives.* Through this program EPA is supporting five pollution prevention/source reduction objectives:

Design for the Environment (DfE)

Proposals should implement or support a source reduction/pollution prevention project that will provide an overall benefit to the environment by preventing the generation of pollutants at the source, as well as provide a method, to characterize the actual or potential environmental affects of the activity. In addition, DfE projects should involve work that examines the hazards of industrial chemical use, assesses alternative processes, formulations, and emerging technologies, and promotes risk reduction through cleaner technologies and safer chemical choices. <Additional information on the design for the environment program can be found at <http://www.epa.gov/dfe>.>

Environmentally Preferable Purchasing (EPP)

Proposals should implement or support a source reduction/pollution prevention project that will provide an overall benefit to the environment by preventing the generation of pollutants at the source, as well as provide a method, to characterize the actual or potential environmental affects of the activity. In addition, EPP projects should demonstrate that the recipient's work will to encourage green purchasing, as well as, provide assistance and information to institutional purchasers on greener products. <Additional information on the environmentally preferable purchasing program can be found at <http://www.epa.gov/opptintr/epp>.>

The Persistent, Bioaccumulative, and Toxic (PBT) Chemicals

Regional proposals must support the Agency-wide PBT Program.. Proposals should clearly indicate how they directly support, or are connected to, the larger Agency-wide PBT Program. This would include advancing goals and strategies from the draft National Action Plans, or addressing cross cutting issues that support the Program as a whole. In an attempt to help focus this criterion, please visit the PBT Program web site for more details concerning the national action plans. Please read these summaries prior to writing your pre-proposal. If you have a proposal concept that would help to reduce PBTs but is not included as a priority in the National Action Plans summaries, please consult with

your Regional PBT Contact for guidance. <Additional information on the persistent, bioaccumulative, and toxic chemical program can be found at <http://www.epa.gov/pbt>.>

Pollution Prevention projects of general interest

Proposals should implement or support a source reduction/pollution prevention project that will provide an overall benefit to the environment by preventing the generation of pollutants at the source, as well as provide a method, to characterize the actual or potential environmental affects of the activity. <Additional information on general pollution prevention programs can be found at <http://www.epa.gov/p2>>

Pollution prevention projects of interest to states, regions and/or tribes

Proposals should implement or support a source reduction/pollution prevention project that will provide an overall benefit to the environment by preventing the generation of pollutants at the source, as well as provide a method, to characterize the actual or potential environmental affects of the activity. In addition, state, regional and tribal proposals must demonstrate that projects will promote pollution prevention across environmental media (i.e., air, water, and land), promote sustainable business/facility/institutional practices, and address priority state, regional, and/or tribal environmental concerns. <Additional information on state, regional, and tribal pollution prevention programs can be found at <http://www.epa.gov/p2>>

4. *Evaluation Criteria.* Each proposal should be consistent with the appropriate project objective listed above. In addition, EPA will give each of the following six criteria equal weight when evaluating each proposal. Specific criteria for PBT Regional projects are listed on the PBT web site.

i. *Project description and justification.* The proposal presents a clear description of the work to be done and explains why and how it addresses national or international concerns.

ii. *Project strategy.* The proposal includes a well-conceived strategy to achieve the project goals and objectives and a reasonable schedule for the execution of the tasks associated with each goal.

iii. *Project management.* The proposal identifies key personnel who will work on the project and demonstrates that they are qualified.

iv. *Project measurement.* The proposal contains clear measures of success for each major task or product, and provides a description of the format in which these measurements will be reported. Please note: the degree for evaluating each measure proposed is in proportion to the amount of resources devoted to the task or product.

v. *Budget.* The budget breakout of the proposal demonstrates effective and judicious use

of Federal funds. EPA requests a 5% match requirement subject to negotiations with the appropriate EPA Program office.

vi. Partnerships. The proposal incorporates feedback from relevant partners (those with relevant expertise, or involved in related work, or potential customers of the proposed work) to guide, evaluate and provide feedback on the products and services the applicant proposes.

5. Award date. All projects are anticipated to be awarded by October 30, 2003. *EPA reserves the right to reject all proposals and make no awards.* Any dispute will follow the process in accordance with 40 CFR 30.63 and Part 31, subpart F.

VII. POST AWARD REPORTING

A. Reports: The recipient, along with the Regional Project Officer, will develop a process for jointly evaluating and reporting progress and accomplishments under the work plan. The work plans and reporting must be consistent with the requirements of 40 CFR 35.107, 35.115, and 35.515. A description of the evaluation process and a reporting schedule must be included in the work plan (see §§ 35.107(b)(2)(iv) and 35.507(b)(2)(iv)). The reporting schedule requires the recipient to submit, at a minimum, annual progress reports, during the life of the project, to the Regional Project Officer under 40 CFR 31.40 (b). In their reports, recipients should provide discussion of accomplishments as measured against work plan commitments; a discussion of cumulative effectiveness of the work performed under all work plan components; a discussion of existing and potential problem areas; and suggestions for improvement, including where feasible, schedules for making improvements. If evaluation reveals the recipient has not made sufficient progress under the work plan, the Regional Project Officer and the recipient will negotiate a resolution that addresses the issues. If issues cannot be resolved through negotiation, the Regional Project Officer may take appropriate action under 40 CFR 31.43. The recipient may request a review of the Regional Project Officer's decision under the dispute resolution process in 40 CFR 31.70.

B. Audits. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other assistance agreements. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that receive financial assistance of \$300,000 or more within the State's fiscal year shall have an audit made for that year. The Office of Management and Budget (OMB) Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations," was published in the Federal Register on June 30, 1997. The Circular implements the Single Audit Act amendments of 1996. State agencies that receive less than \$300,000 within the State's fiscal year shall have an audit made in accordance with Federal laws and regulations governing the programs in which they participate.

C. Records. Financial records, including all documents to support entries on accounting records to substantiate charges to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance agreement accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

List of Subjects

cross-media sustainability,
design for the environment,
environmental justice,
environmental management systems,
environmentally preferable purchasing,
measurement,
multimedia,
persistent bioaccumulative, and toxic chemicals,
pollution prevention,
regulatory integration, and
source reduction.

APPENDIX A

Regional Coordinators:

U.S. EPA Region 1 (CT, ME, MA, NH, RI, VT)

MC (SPP)

Boston, MA 02114-2023

Abby Swaine, phone: (617) 918-1841; email: swaine.abby@epa.gov

Robert Guillemain, phone: (617) 918-1814; email: guillemain.robert@epa.gov

PBT Regional Contact: Jeri Weiss phone: (617) 918-1568; email: weiss.jeri@epa.gov

U.S. EPA Region 2 (NJ, NY, PR, U.S. Virgin Islands)

MC (SPMMB)

290 Broadway 25th Floor

New York, NY 10007-1866

Tristan Gillespie, phone: (212) 637-3753; email: gillespie.tristan@epa.gov

PBT Regional Contact: Derval Thomas, phone (213) 637-4028; email: thomas.derval@epa.gov

U.S. EPA Region 3 (DE, MD, PA, VA, WV, D.C.)

MC (3E100)

1650 Arch Street

Philadelphia, PA 19103-2029

Contact: Jeff Burke, phone: (215) 814-2761; email: burke.jeff@epa.gov

Lorna Rosenberg, phone: (215) 814-5389; email: rosenberg.lorna@epa.gov

PBT Regional Contact: Marie Holman, phone: (215) 814-5463; email: holman.marie@epa.gov

U.S. EPA Region 4 (AL, FL, GA, KY, MS, NC, SC, TN)

Atlanta Federal Center

61 Forsyth Street S.W.

Atlanta, GA 30303

Contact: Dan Ahern, phone: (404) 562-9028; email: ahern.dan@epa.gov

PBT Regional Contact: Dan Ahern (see contact information above)

U.S. EPA Region 5 (IL, IN, MI, MN, OH, WI)

MC (DW-8J)

77 West Jackson Blvd.

Chicago, IL 60604-3590

Contact: Phil Kaplan, phone: (312) 866-4669; email: kaplan.phil@epa.gov

Mary Setnicar, phone: (312) 866-0976; email: setnicar.mary@epa.gov

PBT Regional contact: Seth Dibblee, phone: (312) 816-5992; email: dibblee.seth@epa.gov

U.S. EPA Region 6 (AR, LA, NM, OK, TX)

MC (6EN-XP)

1445 Ross Ave.

Suite 1200

Dallas, TX 75202

Rob Lawrence, phone: (214) 665-6580; email: lawrence.rob@epa.gov

Joy Campbell, phone: (214) 665-8036; email: campbell.joy@epa.gov

Eli Martinez, phone: (214) 665-2119; email: martinez.eli@epa.gov

PBT Regional Contact: Ruben Casso, phone: (214) 665-6763; email: casso.ruben@epa.gov

U.S. EPA Region 7 (IA, KS, MO, NE)

MC (ARTD/TSPP)

901 N. 5th Street

Kansas City, KS 66101

Gary Bertram, phone: (913) 551-7533; email: bertram.gary@epa.gov

Chet McLaughlin, phone: (913) 551-7666; email: mclaughlin.chilton@epa.gov

Mary Carter, phone: (913) 551-7350; email: carter.mary@epa.gov

PBT Regional Contact: John Helvig, phone: (913) 551-7018; email: helvig.john@epa.gov

U.S. EPA Region 8 (CO, MT, ND, SD, UT, WY)

MC (8P-P3T)

999 18th Street

Suite 300

Denver, CO 80202-2466

Linda Walters, phone: (303) 312-6385; email: walters.linda@epa.gov

PBT Regional Contact: Matt Langenfeld, phone: (303) 312-6284; email: lagenfeld.matt@epa.gov

U.S. EPA Region 9 (AZ, CA, HI, NV, and Pacific Islands and Tribal Nations subject to U.S. law)

MC (WST-7)

75 Hawthorne Street

San Francisco, CA 94105

John Katz, phone: (415) 972-3283; email: katz.john@epa.gov

PBT Regional Contact: John Katz (see contact information above)

U.S. EPA Region 10 (AK, ID, OR, WA)

MC (01-085)

1200 Sixth Ave.

Seattle, WA 98101

Carolyn Gangmark, phone: (206) 553-4072; email: gangmark.carolyn@epa.gov

Robert Drake, phone: (206) 553-4803; email: drake.robert@epa.gov

PBT Regional Contact: Pat Springer, phone: (206) 553-2858; email: springer.pat@epa.gov

APPENDIX B

Regional Web Site Addresses:

Region 1	http://www.epa.gov/region01/grants/index.html
Region 2	http://www.epa.gov/region02/cgp/ppis/index.html
Region 3	http://www.epa.gov/reg3p2p2/grants.htm
Region 4	http://www.epa.gov/region4/financial/grants.html
Region 5	http://www.epa.gov/region5/p2/grants.htm
Region 6	http://www.epa.gov/earth1r6/6en/xp/enxp2d8.htm
Region 7	http://www.epa.gov/region7/p2/grants.htm
Region 8	http://www.epa.gov/region08/conservation_recycling/grants.html
Region 9	http://www.epa.gov/region09/cross_pr/p2/grants.html
Region 10	http://yosemite.epa.gov/R10/OI.NSF/Pollution+Prevention+(P2)/Pollution+Prevention

